

**Indiana Department of
Homeland Security**

Grants Management Branch

**Grants Management
Policies and Procedures
Guidebook**



MITCHELL E. DANIELS, Jr., Governor
STATE OF INDIANA

DEPARTMENT OF HOMELAND SECURITY

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Greetings,

The Grants Management Branch of the Indiana Department of Homeland Security is excited to provide this tool to assist you with management of your homeland security grants. The IDHS Grants Management Policies and Procedures Guidebook (the guidebook) contains all of the information that you will need to successfully manage each grant, from an overview of the grant award process to the form necessary to close out a grant and everything in between.

It is important to note that the IDHS Grants Management Policies and Procedures Guidebook is, by its very nature, a living document. We will send, via email, amendments and additions as necessary for you to print and add to the guidebook. Please also understand that the guidebook is currently not complete. IDHS is in the process of developing some policies and procedures and will be sending those to you as soon as possible.

In addition to containing all of the policies and procedures for grants management, the guidebook should serve as a model for the organization of your county's grant paperwork. The Grants Management Branch strongly suggests that you organize your paperwork utilizing this system. This will minimize the loss of paperwork and ease communication efforts.

Thank you for your continuing efforts in management of Indiana's Homeland Security Grant Program. It is our goal to continue to work with each of you to make Indiana as safe and prepared as possible.

Respectfully,

Erika Poplar
Grants Director
Indiana Department of Homeland Security

**INDIANA DEPARTMENT OF HOMELAND SECURITY (IDHS)
GRANTS MANAGEMENT BRANCH**

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**INDIANA DEPARTMENT OF HOMELAND SECURITY (IDHS)
GRANTS MANAGEMENT BRANCH**

POLICIES FOR REIMBURSEMENT

Once a fully executed sub-grant agreement is returned to the sub-grantee, the sub-grantee may obligate grant funds. Once funds have been expended, reimbursement may be sought.

1. REQUEST FOR REIMBURSEMENT SUBMISSION

All reimbursement requests will be made online through iGMS. All appropriate supporting documentation including invoices and/or receipts should be submitted to the designated Project Manager. Purchase orders, order acknowledgements, quotes, etc. are not deemed acceptable documentation of purchase. In the rare instance when an invoice or receipt is not available, contact the Project Manager and specific instructions will be issued to enable you to document your request.

Invoices and/or receipts should be forwarded to IDHS via email or fax. Each document **MUST** have the appropriate transaction number from the iGMS System written plainly on the document.

2. DISBURSEMENT OF FUNDS

IDHS will work to process reimbursements in approximately 10 – 12 business days from reimbursement request approval. **NOTE:** The Fiscal Office of IDHS does not process disbursement requests during the last 5 business days of each month. The Auditor of the State's office does not process disbursement requests during the last two weeks of the fiscal year which ends June 30. Please take these dates into consideration when filing a request at the end of the month or the end of the state fiscal year.

3. VERIFICATION OF SUB-GRANTEE EXPENDITURE

A sub-grantee may have only one disbursement in the reimbursement process at a time. The reimbursement process will only be considered closed once IDHS has received proof of expenditure for all funds EFT'ed to the sub-grantee.

Primary acceptable proof of expenditure is an auditor's report showing disbursement of grant funds or a copy of a cancelled check. Other acceptable methods to show proof of expenditure may be considered by the Grants Management Branch on a case-by-case basis.

**INDIANA DEPARTMENT OF HOMELAND SECURITY (IDHS)
HOMELAND SECURITY GRANTS ADMINISTRATION**

**INSTRUCTIONS FOR COMPLETING STATE HOMELAND SECURITY GRANT
PROGRAM QUARTERLY PROGRESS AND FINANCIAL REPORTS**

Grantees are required to submit Quarterly Progress and Financial Status Reports on project activities and accomplishments via IGMS. In addition to the IGMS submission, Grantees will also be required to providing a hard copy of the report with the appropriate original signatures to the Grants Management Branch.

It is expected that reports will include data appropriate to this stage of project development and in sufficient detail to provide a clear idea and summary of work and accomplishments to date. The following schedule is the required timeframe for the submission of the Quarterly Progress and Financial Status Reports:

Reporting Period:

July 1 – Sept. 30

Oct 1 - December 31

January 1- March 31

January 1 - June 30

Due No Later Than:

October 15

January 15

April 15

July 15

Instructions for Quarterly Reports can be found in the iGMS manual.

**INDIANA DEPARTMENT OF HOMELAND SECURITY (IDHS)
GRANTS MANAGEMENT BRANCH**

INSTRUCTIONS FOR MONITORING

The Grants Management Branch will conduct at least one monitoring visit on each sub-grantee each year. Monitoring visits will be grant specific and will either be conducted via telephone (desk monitoring) or in person (onsite monitoring). Monitoring visits may be programmatic, financial or both programmatic and financial in nature.

PURPOSE: Monitoring visits allow the Grants Management Branch to track sub-grantees' progress and identify areas that need attention.

FORMAT: The Grants Management Branch will use the same form for all sub-grantees. However, it may not be necessary to answer all questions for each sub-grantee. The Grants Management Branch will complete the monitoring report based on the scope of the visit (programmatic, financial or both) and the sub-grantee's specific use of the grant funds.

SCHEDULING: The Grants Management Branch will schedule monitoring visits in advance to ensure that each sub-grantee is properly prepared. It may be necessary to have your financial officer available during these visits.

DESK MONITORING: These monitoring visits will be conducted via telephone by a member of the Grants Management Branch. In addition, your field coordinator and other IDHS staff may be present during desk monitoring.

ONSITE MONITORING: IDHS staff will conduct onsite monitoring visits. These will be more in-depth and sub-grantees should be prepared to show IDHS staff equipment purchased as well as answer grant specific programmatic and financial questions.

**INDIANA DEPARTMENT OF HOMELAND SECURITY (IDHS)
GRANTS MANAGEMENT BRANCH**

INSTRUCTIONS FOR DEOBLIGATION

To deobligate funds, the sub-grantee must create a final GAN to change the budget from currently approved budget to actual expenditures.

A final quarterly report based on the approved final GAN will document the sub-grantee's acknowledgement of funds to be reobligated by IDHS.

SUMMARY OF FEDERAL PROCUREMENT REQUIREMENTS APPLICABLE TO LOCAL SUB-GRANTEES

The following is a very brief summary of a complex federal regulation (28 CFR 66.36). These requirements are applicable to all procurements (including procurements for services) using any federal grant funds. For procurements, grant recipients must comply with the following federal procurement requirements in addition to any applicable state and local procurement requirements:

(1) GENERAL REQUIREMENTS

- Maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of the contract or purchase order.
- Maintain a written code of standards of conduct of their employees engaged in the award and administration of contracts. No employee, officer, or agent of the recipient shall participate in the selection, award or administration of a contract (supported by federal funds) if a conflict of interest, real or apparent, would be involved.
- Maintain records which detail the history of a procurement including rationale for selection, etc.
- Not use time and material contracts unless no other type of contract is suitable and other specified criteria are applicable.
- Have protest procedures to handle and resolve disputes.
- Take necessary and affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.
- A cost and price analysis must be performed in connection with every procurement action (including amendments).

(2) COMPETITION REQUIRED

- All procurements will be conducted in a manner providing full and open competition consistent with the standards established in Section 66.36.
- The use of in-state or local geographical preferences is prohibited.
- Grant recipients must have a written selection procedure for procurements that govern the following:
 - Clear and accurate description of the technical requirements.
 - Identify all requirements that bidders must fulfill and all other factors to be used in the evaluation of bids.

(3) METHODS OF PROCUREMENT

The following methods of solicitation shall be followed:

- **Small Purchase Procedures (\$100,000 or less):** These can be relatively simple and informal procurement methods to obtain price or rate quotations from an adequate number of qualified sources.

- **Procurement by Sealed Bids:** Bids are publicly solicited and a firm fixed price contract is award to the responsible, qualifying bidder whose bid is the lowest in price.
 - Needs a complete, adequate, and realistic specification or purchase description.
 - Two (2) or more responsible bidders are willing and able to compete for the business.
 - The procurement lends itself to a firm fixed price contract and the selection of the bidder can be made principally on the basis of price.
 - Invitation for bids must be publicly advertised, bids shall be solicited from an adequate number of known suppliers, and they shall be provided sufficient time to respond to the bid request.
- **Procurement by Competitive Proposals:** This procurement method is normally conducted with more than one source submitting an offer, and either a fixed-price or cost-reimbursement type contract is awarded. It is generally used when the conditions are not appropriate for the use of sealed bids.
 - Requests for proposals will be publicized and identify all evaluation factors and their relative importance.
 - Proposals will be solicited from an adequate number of qualified sources.
 - The local recipient must have a method for conducting technical evaluations of the proposals and for selecting the awardees.
 - Awards will be made to the responsible bidder whose proposal is most advantageous to the program, with price and other factors considered.
- **Procurement by Noncompetitive Proposals:** This procurement method is conducted by solicitation of a proposal from only one source, or after solicitation of a number of sources, competition is determined inadequate. This method may only be used when the award of a contract under small purchase procedures, sealed bids or competitive proposals is infeasible and one of the following is applicable:
 - The item is available only from one source.
 - The public exigency or emergency for the requirement will not permit the delay that would result from a competitive solicitation.
 - The awarding agency authorized noncompetitive proposals.
 - After solicitation of a number of a number of sources, competition is determined inadequate.

For all noncompetitive procurements, a cost analysis is required and the grant recipient may be required to obtain approval from the awarding agency for pre-award review. Under the Homeland Security Grant Programs (which includes the State Homeland Security Program (SHSP), Law Enforcement Terrorism Prevention Program (LETPP), Citizen Corps Program (CCP), Metropolitan Medical Response System (MMRS), and Urban Areas Security Initiative (UASI)), Emergency Management Performance Grant, and Buffer Zone Protection Program, the Indiana Department of Homeland Security has to conduct a pre-award review of any proposed noncompetitive award of \$100,000 or more.